

SUBCHAPTER D—APPROVED FORMS, FEDERAL POWER ACT AND PUBLIC UTILITY REGULATORY POLICIES ACT OF 1978

PART 131—FORMS

Sec.

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- 131.51 Notice of succession in ownership or operation.
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- 131.80 FERC Form No. 556, Certification of qualifying facility status for an existing or a proposed small power production or cogeneration facility.

AUTHORITY: 16 U.S.C. 791a–825r, 2601–2645; 31 U.S.C. 9701; 42 U.S.C. 7101–7352.

§ 131.20 Application for approval of transfer of license.

(See §§ 9.1 through 9.10 of this chapter.)

(This application and all accompanying documents shall be submitted in quadruplicate, together with one additional copy for each interested State commission)

BEFORE THE FEDERAL ENERGY REGULATORY
COMMISSION

APPLICATION FOR APPROVAL OF TRANSFER OF
LICENSE

(1) _____, licensee under the license for Project No. _____, issued by the Commission on _____ (Month, day, year) and

(2) _____, (hereinafter referred to as the Transferee).

(3) Hereby jointly and severally apply for the written approval by the Federal Energy Regulatory Commission of the transfer of the aforesaid license from the transferor to the transferee and request that the instrument of such approval by the Commission be made effective as of the date of conveyance of the project properties; and in support thereof show the Commission as follows:

(4) The said transferee is:

(a) ⁴ A citizen of the United States, whereof proof is submitted herewith as Exhibit A,

which is hereby incorporated herein and made a part hereof;

(b) ⁴ An association of citizens under articles of association, a certified copy of which as now in effect is attached hereto as exhibit A and hereby incorporated herein and made a part hereof;

(c) ⁴ A municipality organized under the following statutes: _____, proof of such organization being submitted herewith as Exhibits A-1, A-2, etc., which is [are] hereby incorporated herein and made a part hereof;

(d) ⁵ A _____ (e.g., private, nonprofit, etc.) corporation, organized under the laws of the State of _____, and domesticated in the States of _____; certified copies of its charter or certificate of incorporation, articles of incorporation, corporate by-laws, and certificates of authority to do business, with all amendments of each to date, being submitted herewith as exhibits A-1, A-2, etc., said exhibits being hereby incorporated herein and made a part hereof;

(5) The transferee submits as [partial] evidence of its compliance with all applicable State laws as required by section 9(b) of the Federal Power Act _____ submitted herewith as exhibits B-1, B-2, etc., and proposes to complete its showing of such compliance by submitting _____

⁵This form for application contemplates the filing of the application and Commission action thereon prior to any conveyance of the project properties. If the Commission acts favorably upon the application, it will issue to the applicants an order approving the transfer of the license. Applicants may then consummate the conveyance of the project properties and transferee shall submit to the Commission certified copies of the instruments of such conveyance (see par. 6 of this form). The transferor shall at the same time make payment of annual charges to the date of the conveyance (see par. 6 of this form). The transferor shall at the same time make payment of annual charges to the date of the conveyance (see par. 8 of this form). The transferee shall at the same time submit to the Commission final proofs showing its compliance with state laws. See par. 5 of this form. The transferor shall at the same time turn over to the transferee all license instruments and all maps, plans, specifications, contracts, reports of engineers, accounts, books, records, and all other papers and documents, relating to the original project and to all additions thereto and betterments thereof.

⁴In par. 4 include only the subparagraph which is applicable.

Federal Energy Regulatory Commission

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to be submitted as exhibits B-3, B-4, etc., at the time it submits proof of the conveyance to it of the project properties as hereinafter provided for;⁵

(6) The transferee will submit certified copies of all instruments of conveyance whereby title to the project properties is conveyed to it, upon the completion of such conveyance, if and when the Commission shall have given its approval to the proposed transfer;

(7) If and when the Commission shall have given its approval to the proposed transfer, and upon completion of conveyance of the project properties to the transferee, the transferor will deliver to the transferee and the transferee will accept and permanently retain all license instruments and all maps, plans, specifications, contracts, reports of engineers, accounts, books, records, and all other papers and documents relating to the original project and to all additions thereto and betterments thereof;

(8) The transferor certifies that it has fully complied with the terms and conditions of its license, as amended, and that it has fully satisfied and discharged all of its liabilities and obligations thereunder to the date hereof, and obligates itself to pay all annual charges accrued under the license to the date of transfer;

(9) Contingent upon the final written approval by the Commission of the transfer of the license, the transferee accepts all the terms and conditions of the said license [as amended] and the act, and agrees to be bound thereby to the same extent as though it were the original licensee thereunder;

(10) The name, title, and post-office address of the person or persons to whom correspondence in regard to this application shall be addressed are as follows:

In witness whereof the transferor has caused its name to be hereunto signed by _____ (Name), its _____ (Title—chief executive officer), and its corporate seal to be hereunto affixed by _____ (Name), its _____ (Title—custodian of seal), thereunto duly authorized, this _____ day of _____, 19____; and the transferee has caused its name to be hereunto signed by _____ (Name), its _____ (Title—chief executive officer), and its corporate seal to be hereunto affixed by _____ (Name), its _____ (Title—custodian

⁵See footnote 5 on preceding page.

of seal), thereunto duly authorized this _____ day of _____, 19____.⁶

By _____ (Exact name of transferor)

(Name)

(Title)
(Exact name of transferee)

By _____

(Name)

(Title)

Attest:

(Secretary)

VERIFICATION⁷

State of _____

County of _____, ss:

_____ being duly sworn
deposes and says: That he is the _____

(Title of person signing the application) of
the _____ (Name of one of
applicants), one of the applicants for ap-
proval of transfer of license; that he has read
the foregoing application and knows the con-
tents thereof; and that the same are true to
the best of his knowledge and belief.

(Signature)

Subscribed and sworn to before me, a no-
tary public of the State of _____ this
_____ day of _____, 19____.

EXHIBIT A

PROOF OF CITIZENSHIP⁸

State of _____

County of _____, ss:

_____, _____ and
_____, being duly sworn, each
for himself, deposes and says that he is a cit-
izen of the United States of America.

Subscribed and sworn to before me, a no-
tary public of the State of _____ this
_____ day of _____, 19____.

⁶If applicant is a natural citizen modify
final paragraph.

⁷To be separately executed by each of the
persons signing the foregoing application.

⁸If the applicant is a natural person or an
association of citizens, proof of citizenship is
required. Such proof may be made by affida-
vit in the form indicated.

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[Order 141, 12 FR 8588, Dec. 19, 1947, as amended by Order 175, 19 FR 5218, Aug. 18, 1954; Order 541, 57 FR 21734, May 22, 1992]

§ 131.31 Format No. FERC 561, Annual report of interlocking positions.

(See § 46.4 of this chapter.)

U.S. DEPARTMENT OF ENERGY
Federal Energy Regulatory Commission

ANNUAL REPORT OF INTERLOCKING POSITIONS

This report is mandatory under Section 305(c)(1) of the Federal Power Act. Failure to report may result in criminal fines, civil penalties, and other sanctions as provided by law. The Federal Energy Regulatory Commission does not consider this report to be of a confidential nature. PLEASE READ THE INSTRUCTIONS ON THE REVERSE SIDE BEFORE COMPLETING THIS FORM.

Form Approved
OMB No. 1902-0089

1. Full Name (Last, First, and Middle Initial) (35)

3. Report Year

19

2. Business Address (Street, City, State, and Zip Code) (3 lines by 35)

PUBLIC UTILITY DATA									
Line No.	Name of Public Utility (35)	Position Code (03)	DOE USE ONLY (04)	FERC Docket Number, if Applicable (05)	Date Authorized by FERC (06)	DOE USE ONLY (07)			
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									

OTHER INTERLOCKING ENTITY DATA									
Line No.	Name of Entity (35)	Type Code (03)	Position Code (04)	FERC Docket Number, if Applicable (05)	Date Authorized by FERC (06)	Total Revenues (nearest \$100,000) (07)			
15									
16									
17									
18									
19									
20									
21									
22									
23									
24									
25									

CERTIFICATION

State of _____ County of _____

Sworn to me and subscribed before me, a notary public, in said state and county, this _____ day of _____, My commission expires _____.

Signature: _____

Signature: _____

Format Number FERC 561 (REVISED 3-81)

INSTRUCTIONS FOR COMPLETING ANNUAL REPORT OF INTERLOCKING POSITIONS

GENERAL INFORMATION		Item	Instruction																						
Purpose of Report	The data collected by this report will be used by the Federal Energy Regulatory Commission's staff for review and oversight purposes.	15 thru 25 Col (02) and (03)	Enter in Column (02) the name of each entity in which you hold an interlocking position. In Column (03), enter the appropriate code type for each entity, using the list below.																						
Who Must Submit	This report must be completed by all persons holding interlocking positions between public utilities and certain other entities (described in the specific instructions) during any portion of the calendar year.		<table border="0"> <thead> <tr> <th>Code</th> <th>Name</th> </tr> </thead> <tbody> <tr> <td>FIN</td> <td>Investment bank; bank holding company; foreign bank or subsidiary thereof doing business in the United States; other organization primarily engaged in the business of providing financial services or credit; mutual savings bank; or savings and loan association</td> </tr> <tr> <td>FINI</td> <td>Insurance company</td> </tr> <tr> <td>SECU</td> <td>Entity authorized by law to underwrite or participate in the marketing of securities of a public utility</td> </tr> <tr> <td>ELEQ</td> <td>Entity which produces/supplies electric equipment for the use of any public utility</td> </tr> <tr> <td>FUEL</td> <td>Entity which produces/supplies coal, natural gas, nuclear fuel, or other fuel for the use of any public utility</td> </tr> <tr> <td>20CL</td> <td>Entity specified in 18 CFR 46.3 (one of the 20 largest purchasers of electric energy from a utility)</td> </tr> <tr> <td>CNEN</td> <td>Entity which is controlled by any one of the above named entities</td> </tr> <tr> <td>305B</td> <td>Entity referred to in Section 305(b) of the Federal Power Act (not otherwise identified above)</td> </tr> </tbody> </table>	Code	Name	FIN	Investment bank; bank holding company; foreign bank or subsidiary thereof doing business in the United States; other organization primarily engaged in the business of providing financial services or credit; mutual savings bank; or savings and loan association	FINI	Insurance company	SECU	Entity authorized by law to underwrite or participate in the marketing of securities of a public utility	ELEQ	Entity which produces/supplies electric equipment for the use of any public utility	FUEL	Entity which produces/supplies coal, natural gas, nuclear fuel, or other fuel for the use of any public utility	20CL	Entity specified in 18 CFR 46.3 (one of the 20 largest purchasers of electric energy from a utility)	CNEN	Entity which is controlled by any one of the above named entities	305B	Entity referred to in Section 305(b) of the Federal Power Act (not otherwise identified above)				
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When to Submit	Submit this report on or before April 30 of each year for the preceding calendar year. (For example, the report for the year 1980 would be filed on or before April 30, 1981.)																								
What and Where to Submit	Submit an original and two (2) copies of this report to: Federal Energy Regulatory Commission Office of the Secretary Room 3110 Attention: FERC-561 825 North Capitol Street, N.E. Washington, D.C. 20426																								
Sanctions	This report is prescribed by Section 305(c)(1) of the Federal Power Act and 18 CFR 46.4. Failure to report may result in certain penalties and other sanctions as provided by law.	15 thru 25 Col (04)	Enter the appropriate code for each executive position you hold in the entity named in Column (02), using the list below.																						
GENERAL INSTRUCTIONS																									
1. Prepare this report in conformity with the requirements prescribed in 18 CFR 46.4.																									
2. Leave blank any columns that are not applicable.																									
SPECIFIC INSTRUCTIONS																									
Item	Instruction																								
1 and 2	Enter your full name and business address.																								
3	Enter the last two digits of the calendar year for which this report is filed.																								
4 thru 14 Col (02) and (03)	Enter in Column (02) the name of each public utility in which you hold an executive position. In Column (03), enter the appropriate code for each such position, according to the list below:	15 thru 25 Col (05) and (06)	If you are authorized by the Commission to hold the position of officer or director in accordance with Part 45 of the Commission's regulations, enter in Column (06) the complete FERC docket number of such authorization. In Column (06), enter the date of such authorization. Otherwise, leave these columns blank.																						
	<table border="0"> <thead> <tr> <th>Code</th> <th>Name</th> </tr> </thead> <tbody> <tr> <td>DIR</td> <td>Director</td> </tr> <tr> <td>CEO</td> <td>Chief Executive Officer</td> </tr> <tr> <td>PRES</td> <td>President</td> </tr> <tr> <td>VP</td> <td>Vice President</td> </tr> <tr> <td>SEC</td> <td>Secretary</td> </tr> <tr> <td>TREA</td> <td>Treasurer</td> </tr> <tr> <td>GM</td> <td>General Manager</td> </tr> <tr> <td>COMP</td> <td>Comptroller</td> </tr> <tr> <td>PURA</td> <td>Chief Purchasing Agent</td> </tr> <tr> <td>OEP</td> <td>Other Executive Position</td> </tr> </tbody> </table>	Code	Name	DIR	Director	CEO	Chief Executive Officer	PRES	President	VP	Vice President	SEC	Secretary	TREA	Treasurer	GM	General Manager	COMP	Comptroller	PURA	Chief Purchasing Agent	OEP	Other Executive Position	15 thru 25 Col (07)	For each entity that supplies electric equipment (ELEQ) named in Items 15 thru 25, Column (02), enter the aggregate amount of revenues from producing or supplying electrical equipment to any public utility named in Items 4 thru 14, Column (02) in the subject calendar year, rounded to the nearest \$100,000. Otherwise, leave this column blank.
Code	Name																								
DIR	Director																								
CEO	Chief Executive Officer																								
PRES	President																								
VP	Vice President																								
SEC	Secretary																								
TREA	Treasurer																								
GM	General Manager																								
COMP	Comptroller																								
PURA	Chief Purchasing Agent																								
OEP	Other Executive Position																								
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			Title 18, USC 1001, makes it a crime for any person knowingly and willingly to make to any Agency or Department of the United States any false, fictitious, or fraudulent statements as to any matter within its jurisdiction.																						

[Order 140, 46 FR 22181, Apr. 16, 1981; 46 FR 23048, Apr. 23, 1981; 46 FR 25084, May 5, 1981]

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§ 131.43 Report of securities issued.

(See § 34.10 of this chapter.)

(Submit an original and four copies.)

[NAME OF RESPONDENT]

REPORT OF SECURITIES ISSUED

Description of security.....

Description	Amount
1. Face value or principal amount
2. Plus premium or less discount
3. Gross proceeds
4. Underwriter's spread or commission
5. Securities and Exchange Commission registra- tion fee
6. State mortgage registration tax
7. State commission fee
8. Fee for recording indenture
9. United States document tax
10. Printing and engraving expenses
11. Trustee's charges
12. Counsel fees
13. Accountant's fees
14. Cost of listing
15. Miscellaneous expenses of issue
(Describe large items)
16. Total deductions
17. Net amount realized

[Order 141, 12 FR 8591, Dec. 19, 1947, as amended by Order 182, 46 FR 50517, Oct. 14, 1981]

§ 131.50 Reports of proposals received.

No later than 30 days after the sale or placement of long-term debt or equity securities or the entry into guarantees or assumptions of liabilities (collectively referred to as "placement") pursuant to authority granted under Part 34 of this chapter, the applicant must file a summary of each proposal or proposals received for the placement. The proposal or proposals accepted must be indicated. The information to be filed must include:

- (a) Par or stated value of securities;
- (b) Number of units (shares of stock, number of bonds) issued;
- (c) Total dollar value of the issue;
- (d) Life of the securities, including maximum life and average life of sinking fund issue;
- (e) Dividend or interest rate;
- (f) Call provisions;
- (g) Sinking fund provisions;
- (h) Offering price;
- (i) Discount or premium;
- (j) Commission or underwriter's spread;

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(k) Net proceeds to company for each unit of security and for the total issue;

(l) Net cost to the company for securities with a stated interest or dividend rate.

[Order 575, 60 FR 4855, Jan. 25, 1995]

§ 131.51 Notice of succession in ownership or operation.

(See §§ 35.1 through 35.21 of this chapter.)

(An original and one conformed copy to be submitted)

The _____

(Exact name of new owner, receiver, or trustee)

(Address)

on this _____ day of _____, 19____, hereby adopts, ratifies, and makes his own, or its own, in every respect all applicable rate schedules, and supplements thereto, listed below, heretofore filed with the Federal Energy Regulatory Commission by _____

(Exact name of predecessor)

effective _____

(Effective date of change in ownership or operation)

(List all Rate Schedule F.E.R.C. numbers adopted)

(Exact name of successor)

By _____

(Title)

[Order 141, 12 FR 8591, Dec. 19, 1947, as amended by Order 271, 28 FR 11404, Oct. 24, 1963; Order 541, 57 FR 21734, May 22, 1992]

§ 131.52 Certificate of concurrence.

(See §§ 35.1 through 35.21 of this chapter.)

(An original and one conformed copy to be submitted)

This is to certify that _____

(Name of public utility concurring)

assents to and concurs in the rate schedule (rate schedule supplement) described below, which the _____ (Name of public utility filing rate schedule) has filed, and hereby files this certificate of concurrence in lieu of the filing of the rate schedule (rate schedule supplement) specified.

(Here give exact description of rate schedule or supplement, including F.E.R.C. number)

Federal Energy Regulatory Commission

§ 131.80

(Name of public utility)
By _____
(Title)
Dated _____, 19____.
[Order 141, 12 FR 8591, Dec. 19, 1947, as amended by Order 271, 28 FR 11404, Oct. 24, 1963; Order 541, 57 FR 21734, May 22, 1992]

§ 131.53 Notice of cancellation.

(See §§ 35.1 through 35.21 of this chapter.)

[An original and one conformed copy to be submitted]

Notice is hereby given that effective the ____ day of _____, 19____, Rate Schedule F.E.R.C. No. _____, effective date _____ and filed with the Federal Energy Regulatory Commission by _____

(Name of public utility filing rate schedule) is to be cancelled.

Notice of the proposed cancellation has been served upon the following:

(Name of public utility)
By _____
(Title)
Dated _____, 19____.

[Order 141, 12 FR 8591, Dec. 19, 1947, as amended by Order 271, 28 FR 11404, Oct. 24, 1963; Order 541, 57 FR 21734, May 22, 1992]

§ 131.70 Form¹² of application by State and municipal licensees for exemption from payment of annual charges.

(See § 11.24 of this chapter.) Application by State and municipal licensees for exemption from payment of annual charges must be prepared on this form. The form specifies that in filing application for exemption, the following data and schedules shall be submitted:

1. Name and address of correspondent;
2. Basis for claimed exemption;
3. Generating plants owned or operated by licensee;
4. Transmission lines and distribution lines;
5. KWH of power generated, purchased and interchanged;

¹² Copies of this form may be obtained upon request from the Federal Energy Regulatory Commission.

6. Power sold or otherwise disposed of (kwh);
7. Power interchange (in detail);
8. Statement of unusual conditions attending the disposition of electric power;
9. Book cost of electric property;
10. Operating revenues;
11. Operating expenses and other deductions from revenues;
12. Affidavit.

[Order 143, 13 FR 6682, Nov. 13, 1948]

§ 131.80 FERC Form No. 556, Certification of qualifying facility status for an existing or a proposed small power production or cogeneration facility.

(See § 292.207 of this chapter.)

FERC FORM 556, OMB No. 1902-0075
Expires _____

Certification of Qualifying Facility Status for an Existing or a Proposed Small Power Production or Cogeneration Facility

(To be completed for the purpose of demonstrating up-to-date conformance with the qualification criteria of Section 292.203(a)(1) or Section 292.203(b), based on actual or planned operating experience)

General instructions: Part A of the form should be completed by all small power producers or cogenerators. Part B applies to small power production facilities. Part C applies to cogeneration facilities. All references to sections are with regard to Part 292 of Title 18 of the Code of Federal Regulations, unless otherwise indicated.

PART A—GENERAL INFORMATION TO BE SUBMITTED BY ALL APPLICANTS

1a. Full name:

Docket Number assigned to the immediately preceding submittal filed with the Commission in connection with the instant facility, if any: QF _____

Purpose of instant filing (self-certification or self-recertification (Section 292.207(a)(1)), or application for Commission certification or recertification (Sections 292.207 (b) and (d)(2))):

1b. Full address of applicant:

1c. Indicate the owner(s) of the facility (including the percentage of ownership held by any electric utility or electric utility holding company, or by any persons owned by either) and the operator of the facility. Note that any combination of direct and/or indirect electric utility or electric utility holding company ownership cannot exceed 50 percent of the total ownership (Sections 292.206 and 292.202(n)). For non-electric utility owners, identify the upstream owners, including

owners holding 10 percent or more of the equity interest of such non-electric utility owners. Additionally, state whether or not any of the non-electric utility owners or their upstream owners are engaged in the generation or sale of electric power, or have any ownership or operating interest in any electric facilities other than qualifying facilities. In order to facilitate review of the application, the applicant may also provide an ownership chart identifying the upstream ownership of the facility. Such chart should indicate ownership percentages where appropriate.

1d. Signature of authorized individual evidencing accuracy and authenticity of information provided by applicant:

2. Person to whom communications regarding the filed information may be addressed:

Name:

Title:

Telephone number:

Mailing address:

3a. Location of facility to be certified:

State:

County:

City or town:

Street address (if known):

3b. Indicate the electric utilities that are contemplated to transact with the qualifying facility (if known) and describe the services those electric utilities are expected to provide: utilities interconnecting with the facility and/or providing wheeling service (Section 292.303(c) and (d)); utilities purchasing the useful electric power output (Sections 292.101(b)(2), 292.202(g) and 292.303(a)); utilities providing supplementary power, backup power, maintenance power, and/or interruptible power service (Sections 292.101(b) (3) and (8), 292.303(b) and 292.305(b)):

4a. Describe the principal components of the facility including boilers, prime movers and electric generators, and explain their operation. Include transmission lines, transformers and switchyard equipment, if included as part of the facility.

4b. Indicate the maximum gross and maximum net electric power production capacity of the facility at the point(s) of delivery and show the derivation.

4c. Indicate the actual or expected installation and operation dates of the facility, or the actual or expected date of completion of the reported modification to the facility:

4d. Describe the primary energy input (*e.g.*, hydro, coal, oil (Section 292.202(l)), natural gas (Section 292.202(k)), solar, geothermal, wind, waste, biomass (Section 292.202(a)), or other). For a waste energy input that does not fall within one of the categories on the Commission's list of previously approved wastes, demonstrate that such energy input has little or no current commercial value and that it exists in the absence of the qualifying facility industry (Section 292.202(b)).

5. Provide the average annual hourly energy input in terms of Btu for the following fossil fuel energy inputs, and provide the related percentage of the total average annual hourly energy input to the facility (Section 292.202(j)). For any oil or natural gas fuel, use lower heating value (Section 292.202(m)):

Natural gas:

Oil:

Coal (applicable only to a small power production facility):

6. Discuss any particular characteristic of the facility which the cogenerator or small power producer believes might bear on its qualifying status.

PART B—DESCRIPTION OF THE SMALL POWER PRODUCTION FACILITY

7. Describe how fossil fuel use will not exceed 25 percent of the total annual energy input limit (Sections 292.202(j) and 292.204(b)). Also, describe how the use of fossil fuel will be limited to the following purposes to conform to Federal Power Act Section 3(17)(B): Ignition, start-up, testing, flame stabilization, control use, and minimal amounts of fuel required to alleviate or prevent unanticipated equipment outages and emergencies directly affecting the public.

8. If the facility reported herein is not an eligible solar, wind, waste or geothermal facility, and if any other non-eligible facility located within one mile of the instant facility is owned by any of the entities (or their affiliates) reported in Part A at item 1c. above and uses the same primary energy input, provide the following information about the other facility for the purpose of demonstrating that the total of the power production capacities of these facilities does not exceed 80 MW (Section 292.204(a)):

Facility name, if any (as reported to the Commission):

Commission Docket Number: QF____-____-

Name of common owner:

Common primary energy source used as energy input:

Power production capacity (MW):

An eligible solar, wind, waste or geothermal facility, as defined in Section 3(17)(E) of the Federal Power Act, is a small power production facility that produces electric energy solely by the use, as a primary energy input, of solar, wind, waste or geothermal resources, for which either an application for Commission certification of qualifying status (Section 292.207(b)) or a notice of self-certification of qualifying status (Section 292.207(a)) was submitted to the Commission not later than December 31, 1994, and for which construction of such facility commences not later than December 31, 1999, or if not, reasonable diligence is exercised toward the completion of such facility, taking

into account all factors relevant to construction of the facility.

PART C—DESCRIPTION OF THE COGENERATION FACILITY

9. Describe the cogeneration system (Sections 292.202(c) and 292.203(b)), and state whether the facility is a topping-cycle (Section 292.202(d)) or bottoming-cycle (Section 292.202(e)) cogeneration facility.

10. To demonstrate the sequentiality of the cogeneration process (Section 292.202(s)) and to support compliance with other requirements such as the operating and efficiency standards (item 11 below), provide a mass and heat balance (cycle) diagram depicting average annual hourly operating conditions. Also, provide:

Using lower heating value (Section 292.202(m)), all fuel flow inputs in Btu/hr., separately indicating fossil fuel inputs for any supplementary firing in Btu/hr. (Section 292.202(f));

Average net electric output (kW or MW) (Section 292.202(g));

Average net mechanical output in horsepower (Section 292.202(g));

Number of hours of operation used to determine the average annual hourly facility inputs and outputs; and

Working fluid (e.g., steam) flow conditions at input and output of prime mover(s) and at delivery to and return from each useful thermal application:

Flow rates (lbs./hr.):

Temperature (deg.F):

Pressure (psia):

Enthalpy (Btu/lb.):

11. Compute the operating value (applicable to a topping-cycle facility under Section 292.205(a)(1)) and the efficiency value (Sections 292.205(a)(2) and Section 292.205(b)), based on the information provided in and corresponding to item 10, as follows:

P_t =Average annual hourly useful thermal energy output

P_e =Average annual hourly electrical output

P_m =Average annual hourly mechanical output

P_i =Average annual hourly energy input (natural gas or oil)

P_s =Average annual hourly energy input for supplementary firing (natural gas or oil)

Operating standard=5% or more

Operating value= $P_t/(P_i+P_e+P_m)$

Efficiency standard applicable to natural gas and oil fuel used in a topping-cycle facility:

=45% or more when operating value is less than 15%, or 42.5% or more when operating value is equal to or greater than 15%.
Efficiency value= $(P_e+P_m+0.5P_i)/(P_i+P_s)$

Efficiency standard applicable to natural gas and oil fuel used for supplementary firing component of a bottoming-cycle facility:

=45% or more

Efficiency value= $(P_e+P_m)/P_s$

FOR TOPPING-CYCLE COGENERATION FACILITIES

12. Identify the entity (i.e., thermal host) which will purchase the useful thermal energy output from the facility (Section 292.202(h)). Indicate whether the entity uses such output for the purpose of space and water heating, space cooling, and/or process use.

13. In connection with the requirement that the thermal energy output be useful (Section 292.202(h)):

For process uses by commercial or industrial host(s), describe each process (or group of similar processes using the same quality of steam) and provide the average annual hourly thermal energy made available to the process, less process return. For a complex system, where the primary steam header at the host-side is divided into various sub-uses, each having different pressure and temperature characteristics, describe the processes associated with each sub-use and provide the average annual hourly thermal energy delivered to each sub-use, less process return from such sub-use. Provide a diagram showing the main steam header and the sub-uses with other relevant information such as the average header pressure (psia), the temperature (deg.F), the enthalpy (Btu/lb.), and the flow (lb./hr.), both in and out of each sub-use. For space and water heating, describe the type of heating involved (e.g., office space heating, domestic water heating) and provide the average annual hourly thermal energy delivered and used for such purpose. For space cooling, describe the type of cooling involved (e.g., office space cooling) and provide the average annual hourly thermal energy used by the chiller.

FOR BOTTOMING-CYCLE FACILITIES

14. Provide a description of the commercial or industrial process or other thermal application to which the energy input to the system is first applied and from which the reject heat is then used for electric power production.

[Order 575, 60 FR 4855, Jan. 25, 1995]

PART 141—STATEMENTS AND REPORTS (SCHEDULES)

Sec.

141.1 FERC Form No. 1, Annual report of Major electric utilities, licensees and others.

141.2 FERC Form No. 1-F, Annual report for Nonmajor public utilities and licensees.

141.14 Form No. 80, Licensed Hydropower Development Recreation Report.

141.15 Annual Conveyance Report.